

DOCUMENT RESUME

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Improved Procedures Needed for Identifying Programs Requiring Arms Control Impact Statements, ID-78-48; B-156900. September 27, 1978. Released October 4, 1978. 17 pp. + 9 appendices (38 pp.).

Report to Rep. Clement J. Zablocki, Chairman, House Committee on International Relations; by Robert F. Keller, Acting Comptroller General.

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Congressional Relevance: House Committee on International Relations; Senate Committee on Foreign Relations. Rep. Clement J. Zablocki.

Authority: Arms Control and Disarmament Act of 1961, as amended (P.L. 94-141; 22 U.S.C. 2576). P.L. 95-338. H. Rept. 95-1048.

A 1975 amendment to the Arms Control and Disarmament Act of 1961 required that the executive branch prepare arms control and disarmament policy and negotiations impact statements. These statements must accompany requests to the Congress for authorization or appropriations for programs meeting certain criteria. Budget requests of the Department of Defense (DOD) and the Department of Energy (DOE) were reviewed to identify programs meeting these criteria and to determine why impact statements were not prepared for certain DOE programs. Findings/Conclusions: The review showed that: a total of 300 DOD and DOE budget line items met the criteria for the impact statements; the March 13, 1978, executive branch arms control impact statement submission to the Congress covered only about half of these items; the DOD and DOE budgets contained 24 items for conceptual research which met monetary and nuclear criteria of the act; although certain aspects of the DOE's inertial confinement fusion program have weapons application, DOE officials did not believe that an impact statement was required; a complete listing of weapons research projects was not presented in the DOE budget; the executive branch impact statement submission only covers DOD and DOE programs; and it is not clear what specific budget items were covered by the statements. According to Arms Control and Disarmament Agency (ACDA) officials, not all items meeting the criteria were

covered because: some items were considered to have no significant effect on arms control policy, some items were overlooked in ACDA's analysis, ACDA was not provided complete budget presentations by the DOE, and the ACDA analysis was based on fiscal year 1978, instead of 1979, budget materials.

Recommendations: The House International Relations Committee should explore the following questions with the executive branch: How should research and development programs having broad application be addressed, particularly in which phase of development should an impact statement be prepared for a nuclear weapon? What procedures have been established to include the consideration of nonweapons technology programs which have potential military applications in the impact statement process? In what manner should well-established programs be handled in the process? What procedural changes would be necessary to assure that the submission is based on the budget request with which it is forwarded? How can coordination among executive agencies be improved with respect to sharing of information? Which Federal agency budgets should be examined as a routine part of the process? To what extent should related funding requests be considered when determining inclusion of programs? and Can the executive branch provide the Congress with information correlating budget items with programs covered by statements? (HTW)

7915

REPORT BY THE

Comptroller General

OF THE UNITED STATES

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Improved Procedures Needed For Identifying Programs Requiring Arms Control Impact Statements

At the request of the Chairman of the House International Relations Committee, GAO reviewed the Departments of Defense and Energy fiscal year 1979 funding requests to identify budget items meeting the criteria for an arms control impact statement. These statements show the effect of a program on arms control policy or negotiations.

GAO identified 300 items meeting the criteria and noted that over 150 of these items were not covered in the executive branch impact statement submission to the Congress. Many budget items were not included in the submission because procedures used in the impact statement process were not adequate.

The Committee, in conjunction with the executive branch, should examine the procedural problems to insure that the statements are being prepared in accordance with legislative intent.



ID-78-48
SEPTEMBER 27, 1978



COMPTROLLER GENERAL OF THE UNITED STATES
WASHINGTON, D.C. 20548

B-156900

The Honorable Clement J. Zablocki, Chairman
Committee on International Relations
House of Representatives

Dear Mr. Chairman:

Your letter of December 8, 1977 (see app. I), asked us to review the Departments of Defense and Energy fiscal year 1979 congressional budget requests and to identify the programs meeting the criteria for an arms control impact statement, as specified under subsections 36(a)(1) and (2) of the Arms Control and Disarmament Act of 1961, as amended (22 U.S.C. 2576). We were also asked, in subsequent discussions, to compare the fiscal year 1979 budget items identified with those covered by the March 13, 1978, executive branch arms control impact statement submission to the Congress and to determine why arms control impact statements were not prepared for certain energy research programs of the Department of Energy.

Our review showed that:

- A total of 300 Defense and Energy budget line items met the criteria for an arms control impact statement.
- The March 13, 1978, executive branch arms control impact statement submission to the Congress covered only about half of the budget line items we identified.
- The Defense and Energy budgets also contained 24 budget items for conceptual research which met the monetary and nuclear criteria of the act; however, the legislation does not expressly require that impact statements be prepared for projects of this nature. Ten of these projects were covered in the executive branch impact statement submission.
- Although certain aspects of the Department of Energy's inertial confinement fusion program, which includes laser and electron beam research, have weapons application, Energy officials did not believe that an impact statement was required because the program's primary purpose is to develop fusion energy for use in electrical power generation.

- A complete listing of weapons research projects is not presented in the Department of Energy budget.
- The executive branch impact statement submission only covers Defense and Energy programs.
- It is not clear what specific budget items are covered by the impact statements.

We addressed certain of these issues in a prior report to the Congress 1/ on the arms control impact statement process.

According to Arms Control and Disarmament Agency (ACDA) officials, the executive branch submission did not cover all budget items meeting the legislative criteria primarily because (1) a number of items were considered to have no significant effect on arms control policy, (2) items were overlooked in ACDA's analysis of the budget materials, (3) ACDA was not provided complete budget presentations by the Department of Energy for analysis, and (4) the ACDA analysis was based on fiscal year 1978, instead of 1979, budget materials.

To insure that the executive branch is complying with congressional intent with regard to impact statement legislation, we are recommending that your Committee explore, with executive branch officials, a number of procedural matters relating to the preparation of impact statements, primarily concerning program coverage. (See pp. 14 and 15.)

The National Security Council, in commenting for the administration on this report, agreed that a number of the budget items we identified could have been included in the administration's impact statement submission to the Congress and pointed to new procedures, approved by the President on July 24, 1978, which more specifically define those items to be considered in the impact statement process.

The following sections contain detailed information on the results of our review.

PURPOSE OF ARMS CONTROL IMPACT STATEMENTS

The Arms Control and Disarmament Act of 1961 was amended in 1975 (Public Law 94-141, adopted Nov. 29, 1975),

1/"Statements That Analyze Effects of Proposed Programs on Arms Control Need Improvement" (ID-77-41, Oct. 20, 1977).

adding section 36, which established the legislative requirement that the executive branch prepare arms control impact statements. Subsection 36(b)(2) of the act requires that "a complete statement analyzing the impact * * * on arms control and disarmament policy and negotiations" accompany requests to the Congress for authorization or appropriations for programs meeting the criteria set forth in subsections 36(a)(1) and (2) as follows:

- (1) "any program of research, development, testing, engineering, construction, deployment, or modernization with respect to nuclear armaments, nuclear implements of war, military facilities or military vehicles designed or intended primarily for the delivery of nuclear weapons,"
- (2) "any program of research, development, testing, engineering, construction, deployment, or modernization with respect to armaments, ammunition, implements of war, or military facilities having--
 - "(A) an estimated total program cost in excess of \$250,000,000, or
 - "(B) an estimated annual program cost in excess of \$50,000,000, * * * ."

Subsection 36(b)(2)(B) requires that impact statements be prepared for any other program involving weapons systems or technology which the National Security Council believes, upon the advice and recommendation of the Director of ACDA, may significantly affect arms control policy or negotiations.

A basic premise of the 1975 amendment was that the arms control implications of military programs, whether positive or negative, should be considered together with the merits of the programs' defense capabilities. Specifically, arms control impact statements were intended to describe how a given program might enhance or detract from the attainment of the primary objectives of arms control. According to ACDA, these objectives are to reduce the likelihood of armed conflicts, their severity and violence if they should occur, and the economic burden of military programs.

Impact statement submission process

This is the third year the executive branch has prepared an arms control impact statement submission for the Congress.

In the first 2 years, the Congress was concerned (1) about the timeliness of the statements, (2) whether impact statements had been prepared for all programs requiring them, and (3) about the quality of the information in the statements.

An interagency working group composed of members from ACDA; the Departments of Defense, Energy, and State; the Central Intelligence Agency; and the Office of Management and Budget was responsible for identifying programs requiring impact statements and preparing the statements in fiscal year 1979. ACDA had a leading role in this process. The interagency group was chaired by the ACDA representative, and ACDA was responsible for developing the initial list of programs to be considered for impact statements, as well as for preparing the initial drafts of the statements. The National Security Council was responsible for obtaining Presidential approval of the list of programs to be analyzed and for the statements submitted to the Congress.

The impact statement submission was divided into two sections. The first section contained programs for which specific statements were prepared. The other section consisted of brief descriptions of those programs which met the legislative criteria for an impact statement but which the executive branch had determined had minimal, if any, arms control impact. The executive branch submission was transmitted to the Congress on March 13, 1978, about 7 weeks after the President's budget.

The House International Relations Committee report (H. Rept. 95-1048, Apr. 11, 1978) on the authorization of ACDA's fiscal year 1979 appropriations request commented that the statements contained useful information but that they could have been more timely. The report also questioned whether all programs were covered.

ITEMS MEETING THE IMPACT STATEMENT CRITERIA

We reviewed Defense's and Energy's fiscal year 1979 budget materials and identified 300 budget line items which, in our opinion, met the criteria in subsections 36(a) (1) and (2) of the Arms Control and Disarmament Act. A total of 158 of these items were not covered in the executive branch arms control impact statement submission to the Congress. (See apps. III to VII for a listing of these items.)

We also identified an additional 24 Defense and Energy budget items in the conceptual research stage meeting the

act's monetary and nuclear criteria; however, the legislation is not clear as to whether these programs require impact statements (see app. IX). We did note that 10 of these projects were included in the arms control impact statement submission.

Defense budget items

We identified 268 budget line items in Defense's budget documents which met one or more of the legislative criteria. Of the 268 items identified, 135 were not covered in the executive branch impact statement submission. (See apps. III to VI.) Our review of the Defense budget documents focused primarily on "Fiscal Year 1979 Research, Development, Testing and Evaluation Programs" (Exhibit R-1) and "Fiscal Year 1979 Procurement Programs" (Exhibit P-1), which support the Defense budget request. We also reviewed fiscal year 1979 budget documentation supporting military construction, civil defense, operations and maintenance, and special foreign currency budget requests.

The research and procurement program budget exhibits are prepared annually to support Defense's authorization and appropriation request for these programs. These exhibits contain a listing by budget line item of research and procurement projects for the individual military services and provide a brief description of the item together with the funds requested. Accompanying the research and procurement exhibits are backup documents referred to as descriptive summaries. These documents contain detailed information on each of the line items in the exhibits.

Individual line items in the research and procurement exhibits do not in all cases represent the total amount of funds being requested for a particular program in a given year. In some instances, funding requests for research and procurement programs are contained in several line items of the respective exhibits. For example, funds for research on chemical warfare, biological research, and directed energy programs are contained in several budget line items. Likewise, in the procurement exhibits, funds for programs such as the Trident submarine and the F-15 aircraft are requested in more than one line item. In our analysis of budget items not covered by the executive branch impact statement submission, we did not attempt to relate these items to specific programs; therefore, the number of budget items may be larger than the number of programs not covered by the submission.

In reviewing the Defense budget documents, we identified those line items which met one of the following criteria:

- Involved a funding request of \$50 million or more for fiscal year 1979 alone.
- Had total estimated funding of \$250 million or more.
- Had cumulative funding of \$250 million or more since fiscal year 1974, including the fiscal year 1979 request.
- Were related to nuclear armaments, nuclear implements of war, military facilities or military vehicles designed or intended primarily for the delivery of nuclear weapons.

We also identified those budget items in the research exhibit which did not meet any of the above criteria, but when combined with directly related funds for procurement, construction, or operations and maintenance, met one of the first two criteria above.

Based on our analysis of the Defense budget materials, we identified the following number of budget line items which met one of the above criteria.

Department/ agency	<u>Research</u>	<u>Procure- ment</u>	<u>Military construction</u>	<u>Total</u>
Defense agencies	2	1	-	3
Air Force	34	37	3	74
Army	27	40	2	69
Navy	<u>51</u>	<u>70</u>	<u>1</u>	<u>122</u>
Total	<u>114</u>	<u>148</u>	<u>6</u>	<u>268</u>

As discussed later, we also identified 15 conceptual research budget items which met one of the criteria mentioned, but we did not include these in the above statistics because the items did not clearly come under the purview of the legislation.

In comparing the budget line items identified in our review with those covered by the executive branch impact

statement submission, we found that 135 of the 268 items were not covered by the submission, as summarized below.

<u>Department/ agency</u>	<u>Research</u>	<u>Procure- ment</u>	<u>Military construction</u>	<u>Total</u>
Defense agencies	2	1	-	3
Air Force	13	18	3	34
Army	9	18	2	29
Navy	<u>28</u>	<u>40</u>	<u>1</u>	<u>69</u>
Total	<u>52</u>	<u>77</u>	<u>6</u>	<u>135</u>

According to ACDA officials, most of the 135 Defense budget items we identified as not being covered by the executive branch submission should have been included. The officials believed that, although none of these items would have required an individual impact statement, they should have been included in the section of the submission listing items having minimal, if any, arms control impact. ACDA officials offered the following general reasons as to why the items were not included:

- During the ACDA review of the Defense budget material, many of the items, primarily procurement and construction related, were considered to have an insignificant impact on arms control policy.
- ACDA overlooked certain items when reviewing Defense budget materials.
- Foreign intelligence related items were considered by ACDA but not included in the submission because ACDA determined that they had no arms control impact.
- ACDA based its review of Defense budget materials on fiscal year 1978 data, and our analysis was based on 1979 data. ACDA officials stated that it was necessary to use prior year budget data because of the long leadtime required to have the impact statement submission ready for transmission with the current year budget request to the Congress.
- ACDA did not attempt to combine directly related research and procurement line item requests to

determine if they met the legislative criteria. ACDA did not believe this was a proper interpretation of programs meeting the criteria under the law.

We did not attempt to determine whether a specific impact statement should have been prepared for each of the items we identified as not being covered by the executive branch submission; however, in our opinion, these items met one of the criteria set forth in the act and should have been addressed in the impact statement submission.

It is important to note that one of the items we identified as meeting the legislative criteria, but not included in the executive branch impact statement submission--the cruise missile carrier aircraft--has raised concern among certain Members of Congress. The Senate version of the Department of Defense fiscal year 1979 authorization bill contained an amendment requiring that an arms control impact statement be prepared and submitted to the Congress for the cruise missile carrier aircraft before any of the authorized funds for the program could be obligated or expended. We were advised by an ACDA official that ACDA is now in the process of preparing an impact analysis on this program.

Energy budget items

We reviewed the atomic energy defense activities section of the Department of Energy's fiscal year 1979 congressional budget request and identified 32 budget items or weapon projects which met, in our opinion, the criteria under 36 (a) (1) of the Arms Control and Disarmament Act of 1961, as amended. (See app. VII for a listing of these items.) We determined that 23 of these items were not covered in the executive branch impact statement submission. As discussed on page 10 we also noted nine conceptual research weapons projects that did not clearly come under the purview of the legislation.

The Department of Energy atomic energy defense activities budget is divided into six major sections: (1) inertial confinement fusion, (2) naval reactors development fission, (3) weapons activities, (4) intelligence and arms control, (5) special materials production, and (6) nuclear materials security and safeguards. The weapon projects which we identified were contained exclusively in the weapons activities section.

As discussed later, programs in several other sections of the atomic energy defense activities budget have potential weapon applications; however, we did not include them in our list of budget items since these programs did not meet the criteria under subsections 36(a) (1) and (2) of the act.

The nuclear weapons activities program involves the joint efforts of the Departments of Defense and Energy; however, budgeting for the design, development, testing, and production of nuclear weapons is the responsibility of the Department of Energy. For planning and budgeting purposes, nuclear weapon projects are categorized by phase of development, representing the life cycle of a weapon as detailed below.

- Phase 1--Weapon Conception
- Phase 2--Program Study or Feasibility Study
- Phase 3--Development Engineering or Full-Scale Development
- Phase 4--Production Engineering
- Phase 5--First Production
- Phase 6--Quantity Production and Stockpile
- Phase 7--Retirement

Appendix VIII contains a more detailed description of the activities carried out under each of the seven phases.

The weapons projects we identified were in various phases of development with some scheduled to be in more than one phase during the budget year. Most of these projects were in the quantity production and stockpile and retirement phases.

We compared our list of 32 weapon projects with the executive branch impact statement submission and noted that the submission covered only 9 of the projects. Not covered were one phase 3 and twenty-two phase 6 and 7 projects. (See app. VII.)

ACDA officials stated that they could not comment on why the projects in phases 6 and 7 were not included in the executive branch submission because the Department of Energy did not provide them budget materials on these projects. However, with regard to the phase 3 project--the W-81 warhead for the Standard Missile-2--an impact analysis was prepared and furnished to the National Security Council for Presidential approval. The statement was not forwarded to the Congress because the administration decided to restudy the need for this system.

A Department of Energy official stated that, in his opinion, impact statements are not necessary for weapons projects in the quantity production and stockpile, and retirement phases. The official also stated that since these projects were already in production, they had little relevance to ongoing or planned arms control negotiations and that any arms impact they might have had was in the past.

We believe that weapons projects in the quantity production stage meet the criteria set forth in the act and that they should be identified in the impact statement submission.

Conceptual research programs

As noted in our October 1977 report on the arms control impact statement process, it is not clear whether the Congress intended that arms control impact statements be prepared for weapons research projects in the conceptual stage for which no application has been developed. We identified 24 conceptual research budget line items or weapons projects in the Defense and Energy budgets (see app. IX) which met the monetary and/or nuclear criteria set forth in section 36 of the Arms Control and Disarmament Act.

Fifteen of the conceptual research items were Defense budget items. We noted that four of these items were covered in the executive branch arms control impact statement submission. According to ACDA officials the items not covered by an impact statement related to base technology research for which specific military applications had not been identified. In their opinion, the Congress did not intend that impact statements be prepared on projects of this type.

We also identified nine Energy weapons projects in the early phases of research--weapon conception or program study. Six of these programs were covered by an impact statement. With regard to the three projects not covered, Energy officials stated that projects in these phases do not qualify as a program since they do not have defined military characteristics, could have application to a number of different weapon systems, and might never be approved by Defense for full-scale development. It was the officials opinion that the legislation does not require impact statements on programs in this stage of development. ACDA officials had no comments on these projects because Energy did not provide ACDA with pertinent budget materials on these projects.

ENERGY PROGRAMS WITH WEAPONS APPLICATIONS

At the time of our review, section 36 of the Arms Control and Disarmament Act of 1961, as amended, provided that impact statements be prepared for programs involving weapons systems or technology not meeting the dollar or nuclear criteria of the act, but for which the National Security Council believes may have significant impact on arms control policy or negotiations. National Security Council determinations on these programs are to be made based on the advice and recommendations received from the Director of ACDA.

There are several programs within the defense activities budget of the Department of Energy besides the weapons activities projects which have potential weapons application but for which arms control impact statements were not prepared. These programs are:

1. Inertial Confinement Fusion--involves research and development in achieving fusion through the use of laser, electron, or ion beams. This program is to develop the technology of inertial confinement fusion, to utilize this technology in the near term for solving national security problems, and, in the longer term, to establish it as an inexhaustible energy source.
2. Naval Reactor Development Fission--provides for the design and development of improved naval nuclear propulsion plants and reactor cores with a wide range of configurations suitable for installation in naval vessels ranging in size from small submarines to surface warships.
3. Special Materials Production--involves the production of plutonium for weapons and reactor development, tritium for weapons, plutonium-238 for the space program, and other transplutonium products for medical research and industrial applications. Naval and other fuels are reprocessed for recovery of uranium-235 for recycle to the enriching plants and production reactors. The radioactive waste products are processed and placed in storage tanks or other on-site storage facilities and research is conducted on various waste forms and alternatives for ultimate waste disposal.

According to Department of Energy officials, these types of programs did not come under the purview of the Arms Control and Disarmament Act because the primary purpose of the technology is not related to weapons development. They pointed out, for example, that the primary purpose of the Inertial Confinement Fusion program is to develop an energy source for electrical power generation. We were advised that such weapon benefits, as may accrue while seeking the primary goal, are in the area of nuclear phenomenology and effects simulation and are not likely to have significant impact on arms control and disarmament policy or negotiations.

The Arms Control and Disarmament Act was recently amended (P.L. 95-338, Aug. 8, 1978) to specify that technology with potential military application, rather than simply weapons technology, could be reviewed and reported upon. We believe this amendment should clarify which types of technology programs should be considered in the arms control impact statement process.

OTHER MATTERS OF INTEREST

During our review, we noted several other matters which we believe should be of interest to your Committee as it continues its oversight of the arms control impact statement process.

Conceptual weapons and feasibility study projects not identified

In reviewing the weapons activities section of the Department of Energy's budget, we noted that conceptual and feasibility studies for the upcoming budget year are not specifically identified. We were advised that work of this kind is done on an ad hoc basis, is typically of short duration, and is normally initiated by a request from one of the military services. Thus, the Department of Energy can plan for a "level of effort" but does not know the specifics of the effort at the time of budget preparation.

Statements limited to Defense and Energy programs

The Arms Control and Disarmament Act does not limit the impact statement requirement to particular Federal departments; however, the fiscal year 1979 executive branch impact statement submission included only Defense and Energy programs. In our October 20, 1977, report, we noted the

same situation existed for prior years' submissions. ACDA officials stated that other Federal agencies, such as the National Aeronautics and Space Administration and the Department of Transportation, might have programs requiring impact statements and that they planned to review these agencies' fiscal year 1980 budgets. ACDA officials stated that, because of their limited staff resources, their past and current reviews of Federal programs focused on those they considered most important from an arms control standpoint.

Additional reference data
could be provided

Some fiscal year 1979 arms control impact statements covered separate but related programs. In these cases, the funding requests for the programs in the statement were made up of several budget line items. However, information was not provided with the statements to identify specific items in the agency budget. Without such reference information, questions can arise as to which programs are included and whether all segments of a program are covered by an impact statement.

CONCLUSIONS

The executive branch fiscal year 1979 arms control impact statement submission to the Congress did not, in our opinion, cover all Defense and Energy budget items meeting the legislative criteria under subsections 36(a) (1) and (2) of the Arms Control and Disarmament Act. Items were omitted because (1) it was determined that certain weapons programs had an insignificant impact on arms control policy or negotiations, (2) the prior fiscal year budget material was used to identify programs in lieu of current fiscal year material, and (3) certain programs were overlooked in the review process.

The executive branch has a responsibility to advise the Congress of all items meeting the legislative criteria. In this regard the executive branch agencies, particularly the Departments of Defense and Energy and ACDA, must work more closely together to assure that all items meeting the legislative criteria are identified and that the most current information available is considered.

As noted in our October 1977 report, the legislation is unclear as to whether conceptual weapons research projects, particularly nuclear weapons, require arms control impact

statements. Consequently, we noted several projects in the conceptual development phase which were not identified in the impact statement submission while other projects in this stage of development were. We do not believe that arms control impact analysis should be arbitrarily limited to those programs which have reached a specified stage of development. We recognize that the analysis of projects in the conception and program study or feasibility study phases may not be productive; however, we do believe a complete listing of all programs considered for analysis should be provided to the Congress.

The executive branch has made little effort to identify programs in agencies other than the Departments of Defense and Energy which might require arms control impact statements. Other Federal agencies could have programs meeting the requirements of the act and should be considered. We would urge ACDA to follow through on its plans to review the budgets of additional executive branch agencies as part of the impact statement process for fiscal year 1980.

It appears that there was some question as to whether impact statements should have been prepared for technology programs having both weapon and nonweapon applications. However, the recent amendment to the Arms Control and Disarmament Act relating to coverage of these types of programs should resolve this problem.

The executive branch, when determining which research programs meet the dollar criteria for an impact statement, does not consider directly related procurement and/or maintenance funds requests. We believe that when research programs are being evaluated to determine whether they meet the legislative criteria for an impact statement, any directly related funds should also be included in that evaluation.

It is difficult to identify which specific budget items were covered by the impact statement submission for fiscal year 1979. Information such as this would greatly facilitate congressional review of the statements and provide easy identification of budget items which are included.

RECOMMENDATIONS

We believe there are a number of matters relating to the preparation of arms control impact statements which should be clarified. Accordingly, we recommend that the

Committee explore the following questions with executive branch officials to insure that the statements are being prepared in accordance with legislative intent.

- How should research and development programs having broad application be addressed in the process? A matter of particular concern is in which phase of development should an impact statement be prepared for a nuclear weapon.
- What procedures have been established to include the consideration of nonweapons technology programs which have potential military applications in the impact statement process?
- In what manner should well-established programs, such as nuclear weapons in the quantity production and stockpile phase of development, be handled in the impact statement process?
- What procedural changes in the process would be necessary to assure that the impact statement submission to the Congress is based on the budget request with which it is forwarded?
- How can coordination among the executive agencies be improved with respect to sharing of information necessary for identification of items meeting the impact statement criteria?
- Which Federal agency budgets should be examined as a routine part of the process?
- When determining which research programs should be included in the impact statement process, to what extent should other directly related funding requests be considered?
- Can the executive branch provide the Congress with information correlating budget items with programs covered by the statements?

AGENCY COMMENTS

The Departments of Defense and Energy and the Arms Control and Disarmament Agency were afforded an opportunity to comment on this report. However, the executive branch decided that the National Security Council would provide a coordinated response to the matters discussed. (See app. II.)

In its August 1, 1978, response, the National Security Council agreed that a number of the programs listed in the report could have been included in the administration's fiscal year 1979 impact statement submission. The Council noted, however, that the bulk of these programs were ones where quantity production of a system was already in progress or where already-procured systems were simply being modified; and, thus, the omission of these programs was of little practical importance.

In commenting on why certain programs were not included in the fiscal year 1979 submission, the Council stated:

"It is, I believe, to be expected that questions as to the scope of program coverage will arise in these first real attempts to meet the intent of Congress with respect to impact statements. However, we have attempted to resolve this problem by means of revised ACIS [arms control impact statement] development procedures that were approved by the President on July 24, 1978."

Although we did not examine the revised procedures in detail, we did note that they did not address all of the problem areas we identified. Furthermore, the effectiveness of the procedures can only be assessed after they have been fully implemented. We believe, therefore, that the matters discussed in this report are still relevant and should be pursued by the Committee with the executive branch officials responsible for the arms control impact statements.

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In conducting this review we met with officials of the Departments of Defense and Energy and ACDA. We also reviewed pertinent records and documents at those agencies relating to the arms control impact statement process, as well as fiscal year 1979 and prior year funding requests of the Departments.

We trust that the information contained in this letter is responsive to the questions raised in your request and that the additional matters we have presented will assist you in your continuing oversight of the arms control impact statement process.

B-156900

As agreed to by your office, we will release this report for general distribution in 1 week. At that time, we will send copies to the Secretaries of Defense, Energy, the Air Force, the Army, the Navy; the Director of the Arms Control and Disarmament Agency; and the National Security Council.

Sincerely yours,


ACTING Comptroller General
of the United States

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 CHIEF OF STAFF

Congress of the United States
 Committee on International Relations

House of Representatives

Washington, D.C. 20515

December 8, 1977

9 P3.17

The Honorable Elmer B. Staats
 Comptroller General of the United States
 General Accounting Office
 441 G Street
 Washington, D.C. 20548

Dear Mr. Staats:

As you know, Congress will soon be receiving the President's fiscal year 1979 budget authorization request. Accompanying this request will be arms control impact statements for programs required under Section 36 of the Arms Control and Disarmament Act of 1961, as amended.

In order for the Committee to fulfill its oversight responsibility with respect to these programs it is requested that an audit of the Department of Defense and the Department of Energy authorization requests for fiscal year 1979 be made in order to identify those programs requiring arms control impact statements as specified under Subsection 36(a)(1) and Subsection 36(a)(2).

It is also requested that a list of all Department of Energy and Department of Defense programs of research, development, testing, engineering construction, deployment or modernization with respect to nuclear armaments, nuclear implements of war, military facilities or military vehicles designed or intended primarily for the delivery of nuclear weapons be made available.

The committee also requests a list of all Department of Defense programs, (presented as exhibits in the P-1 or R-1 documents, line number, and Program Element) on the following:

(a) all programs exceeding \$50 million in authorization requests for fiscal year 1979;

(b) all programs exceeding \$250 million in projected program costs as indicated in the fiscal year 1979 budget authorization request materials;

Committee on International Relations

The Honorable Elmer B. Staats

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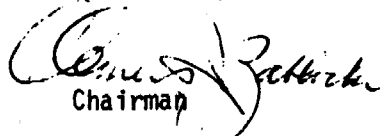
December 8, 1977

(c) all other programs for which less than \$50 million has been requested for fiscal year 1979, but for which more than \$250 million has been spent since the individual programs were first authorized.

In order for results of this audit to be of use to the committee as it reviews the President's fiscal year 1979 budget authorization requests in these areas, it is essential that the audit be completed and submitted to the committee no later than February 15, 1978.

With best wishes, I remain

Sincerely yours,


Chairman

CJZ:isl

GAO note: The Committee staff was provided an interim briefing on February 15, 1978. The scope of the request was later expanded and the reporting time frame accordingly adjusted.

NATIONAL SECURITY COUNCIL
WASHINGTON, D.C. 20506

August 1, 1978

Dear Mr. Fasick:

This is in response to your request for informal Administration comments on your draft entitled "Arms Control Impact Statements -- Better Coverage Needed." We are grateful for this opportunity to comment, and to acknowledge the view expressed by the House International Relations Committee that significant improvements were made in the quality of the impact statements this year.

In general, we agree that a number of the programs you list in your draft report could have been included in the Administration's FY 1979 submission. It is, I believe, to be expected that questions as to the scope of program coverage will arise in these first real attempts to meet the intent of Congress with respect to impact statements. However, we have attempted to resolve this problem by means of revised ACIS development procedures that were approved by the President on July 24, 1978.

We would note, however, that the omissions you cited are of little practical importance. The bulk of the programs on your list were ones where quantity production of a system was already in progress, or where already-procured systems were simply being modified. In virtually all such cases -- where system development had already been completed -- we judged that the arms control impact had essentially run its course and that ACIS were not required. However, where significant modifications to such systems were being proposed -- e.g., the B-61 and B-43 bombs -- ACIS were provided. We would also note that the word "procurement" was not used in the statutory listing of events which require submission of impact statements.


After careful scrutiny of the remaining items on your list, we conclude that few of those cited have any arms control impact of measurable significance, and, therefore, would not have been treated in-depth in individual impact statements. Nonetheless, those programs could have been included in Tab B (the list of programs with little or no significant impact) of our FY 79 submission.

Other items identified in the draft report as having been omitted were in stages of development where it was too early to determine with precision their possible implications for arms control. Several DOE Phase I and II study efforts, as well as some Department of Defense programs in early research and exploratory development fall into this category. In the future, all early development programs which qualify under the law will be evaluated for their potential arms control impact within the ACIS development process and a determination will be made on a case-by-case basis whether or not in-depth impact statements are required. Where in-depth statements are not required, all such development programs will be appropriately aggregated and at least described for the Congress.

Despite our intention to be precise and punctual in the future, it should be recognized that the preparation of a complete set of fully-developed impact statements in a timely fashion is an extremely difficult task requiring, literally, the expenditure of tens of thousands of manhours by the concerned agencies. Because of the long lead time required for the initiation of the ACIS process, the Administration was forced to rely upon the FY 1978 budget justification documents as the source of program information. In contrast, GAO had the use of the FY 1979 documents in writing its report. This factor should be taken into account in the GAO findings. In addition, preparation of impact statements is further complicated by the fact that significant program changes often occur late in the budget review cycle.

To minimize the potential for missed deadlines and omitted programs, the Administration intends to provide for the prompt and continuous sharing of budget information among all concerned agencies. I assure you that every practical effort will be made to ensure that in the future ACIS are prepared for every program required by law, and that the ACIS provided to the Congress arrive at the prescribed time.

Very truly yours,



Christine Dodson
Staff Secretary

Mr. J. Kenneth Fasick
Director, International Division
United States General Accounting Office
441 G Street, NW
Room 4804
Washington, D.C. 20548

DEPARTMENT OF DEFENSE
RESEARCH, DEVELOPMENT, TESTING, AND EVALUATION
PROGRAM BUDGET ITEMS
MEETING THE LEGISLATIVE CRITERIA FOR AN
ARMS CONTROL IMPACT STATEMENT
FISCAL YEAR 1979

<u>Exhibit R-1</u> <u>line item</u> <u>number</u>	<u>Program</u> <u>element</u> <u>number</u>	<u>Item description</u>	<u>Applicable</u> <u>criteria</u>
<u>DEFENSE AGENCIES</u>			
21	31011G	Cryptologic Activities	b,d
28	33401G	Communication Security	b,d
<u>DEPARTMENT OF THE AIR FORCE</u>			
*30	63605F	Advanced Radiation Technology	b,d
39	64711F	Systems Survivability	a
*42	63305F	Advanced Intercontinental Ballistic Missile Technology (MX)	a,b,d
*43	63311F	Advanced Ballistic Re-entry System	b,d
*44	63314F	Strategic Bomber Enhancement	b
*54	64215F	B-1	a,b,c,d
55	64231F	Cruise Missile Carrier Aircraft	a
*59	64361F	Air Launched Cruise Missile	a,b,c,d
*60	64406F	Space Defense System	b
62	11113F	B-52 Squadrons	a,b
63	11118F	Short-range Attack Missile (AGM-69)	a

*Budget item covered by fiscal year 1979 arms control impact statement.

<u>Exhibit R-1 line item number</u>	<u>Program element number</u>	<u>Item description</u>	<u>Applicable criteria</u>
<u>DEPARTMENT OF THE AIR FORCE (cont'd)</u>			
* 66	11213F	Minuteman Squadrons	a,b,c,d
* 90	63421F	Navstar Global Positioning System	c,d
101	63801F	Advanced Development Special Program	b
*106	64229F	F-16 Development	a,b,c,d
*108	64362F	Ground Launched Cruise Missile	a
*115	64608F	Close Air Support Weapon System	b,c
130	64742F	Precision Location Strike System	b,c
**141	27130F	F-15 Squadrons	c,d
**142	27131F	A-10 Squadrons	c
*151	27417F	Tactical Airborne Command Control Systems	b,c,d

*Budget item covered by fiscal year 1979 arms control impact statement.

**Budget item identified in executive branch fiscal year 1979 arms control statement submission as having minimal impact and for which an impact statement was not prepared.

<u>Exhibit R-1 line item number</u>	<u>Program element number</u>	<u>Item description</u>	<u>Applicable criteria</u>
<u>DEPARTMENT OF THE AIR FORCE (cont'd)</u>			
**158	63411F	Space Shuttle	b,d
177	34111F	Special Activities	b,d
189	64747F	Electromagnetic Radiation Test Facilities	e
**195	65806F	Acquisition and Command Support	b,d
**196	65807F	Test and Evaluation Support	b,d
<u>DEPARTMENT OF THE ARMY</u>			
66	63604A	Nuclear Munitions and Radiacs	a
* 92	63304A	Ballistic Missile Defense Advanced Technology Program	b,c,d
* 93	63308A	Ballistic Missile Defense System Technology Program	b,c,d,f
95	64603A	Nuclear Munitions	a
100	63301A	Division Air Defense Gun	b
**101	63303A	Surface-to-Surface Missile Rocket Systems	b,c
110	63612A	Advanced Multi-purpose Missile	c
**135	64203A	Aerial Scout	c

*Budget item covered by fiscal year 1979 arms control impact statement.

**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.

<u>Exhibit R-1 line item number</u>	<u>Program element number</u>	<u>Item description</u>	<u>Applicable criteria</u>
<u>DEPARTMENT OF THE ARMY (cont'd)</u>			
**137	64206A	Utility Tactical Transport Aircraft System	c,d
**138	64207A	Advanced Attack Helicopter	b,c,d
*145	64307A	Patriot (Surface-to-Air Missile--Development)	b,c,d
**147	64309A	Roland	c,d
**148	64310A	Heliborne Missile-Hellfire	b,c
*149	64311A	Pershing II	a,c
*164	64620A	Tank Systems	b,c,d
**210	28010A	Joint Tactical Communication Program	b,d
**223	65301A	Kwajalein Missile Range	b,d
**232	65804A	Major Research, Development Test- ing, and Evaluation Facilities	b,d
<u>DEPARTMENT OF THE NAVY</u>			
** 36	63508N	Ship Propulsion System	c
* 53	63754N	High Energy Laser	c
* 60	63371N	Trident II Missile System	a,c
63	63588N	Nuclear Powered Ballistic Missile Submarine Subsystem Technology	g

*Budget item covered by fiscal year 1979 arms control impact statement.

**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.

<u>Exhibit R-1 line item number</u>	<u>Program element number</u>	<u>Item description</u>	<u>Applicable criteria</u>
<u>DEPARTMENT OF THE NAVY (cont'd)</u>			
** 64	63634N	Tactical Nuclear Weapons Development	a
65	63714N	Nuclear Vulnerability/ Survivability	a
68	64365N	Surface Missile Warhead Development	a
* 69	64367N	Tomahawk Cruise Missile (Engineering)	a,b,c,d
** 72	11221N	Fleet Ballistic Missile System	a,b,d
* 74	11228N	Trident	a,b,d
75	11401N	Extremely Low Frequency Com- munications	g
** 83	63211N	AV-8B Aircraft (Advanced)	b
**100	63309N	Shipboard Intermediate Range Combat System	c
104	63317N	Defense Suppression System	g
113	63501N	Reactor Propulsion Plants	a
116	63504N	Advanced Submarine Sonar Development	b
143	63578N	A4W/AIG Nuclear Propulsion Plant	a
144	63579N	D2W Nuclear Propulsion Reactor (Advanced)	a
145	63580N	Advanced Design Submarine Nuclear Propulsion	a

*Budget item covered by fiscal year 1979 arms control impact statement.

**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.

<u>Exhibit R-1 line item number</u>	<u>Program element number</u>	<u>Item description</u>	<u>Applicable criteria</u>
<u>DEPARTMENT OF THE NAVY (cont'd)</u>			
**153	63610N	Advanced Anti-Submarine Warfare Torpedo	c
154	63611M	Landing Vehicle Assault	c
**165	63763N	Aerospace Ocean Surveillance	c
**178	64212N	LAMPS MK III	b,c,d
**180	64214N	AV-8B Aircraft (Engineering)	c
*193	64263N	Navy Air Combat Fighter	b,c,d
**196	64303N	AEGIS	c
**197	64304N	Combat System Engineering Development Site	c
**205	64366N	Standard Missiles	c
**218	64559N	Deep Submergence Technology	g
223	64567N	Ship Development(Engineering)	b
**226	64570N	CSGN Development	g
264	25620N	Anti-Submarine Warfare Combat Systems Integration	g
265	25623N	Surface Ship Sonar Modernization	g
282	78012N	Logistic Support Activities	g
**322	65863N	Research, Development, Test and Evaluation Ship and Aircraft Support	b,d
**323	65864N	Test and Evaluation Support	b,d

*Budget item covered by fiscal year 1979 arms control impact statement.

**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.

- a/The line item is related to a nuclear program.
- b/The fiscal year 1979 budget request for the line item is \$50 million or more.
- c/Total estimated funding for the line item is \$250 million or more.
- d/Cumulative funding for the line item since fiscal year 1974, including the fiscal year 1979 request, is \$250 million or more.
- e/Test facilities for nuclear and non-nuclear applications.
- f/The line item is related to a nuclear weapon--for defense of the Minuteman force.
- g/Line item funds are for projects which are an integral part of a nuclear powered system or nuclear weapons system.

DEPARTMENT OF DEFENSE
PROCUREMENT PROGRAM BUDGET ITEMS
MEETING THE LEGISLATIVE CRITERIA FOR AN
ARMS CONTROL IMPACT STATEMENT
FISCAL YEAR 1979

Exhibit P-1
 line item
number

Appropriation title/budget
activity/item description

Applicable
criteria

DEFENSE AGENCIES

Appropriation: 0300D Procurement

Budget activity 1--Major equipment

2	Classified Equipment	b,d
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DEPARTMENT OF THE AIR FORCE

Appropriation: 301F Aircraft procurement

Budget activity 1--Combat aircraft

** 5	A-10	b,c,d
8	F/TF/15A	b,c,d
* 9	F-16A/B	a,b,c,d
**11	Tanker/Cargo Aircraft	b,c
*12	E-3A (Advanced Warning and Control System)	b,c,d

Budget activity 4--Other aircraft

**18	TR-1	c
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Budget activity 5--Modification of
in-service aircraft

20	B-52	a,b,d
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*Budget item covered by fiscal year 1979 arms control impact statement.

**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission as having minimal impact and for which an impact statement was not prepared.

Exhibit P-1 line item number	Appropriation title/budget activity/item description	Applicable criteria
<u>DEPARTMENT OF THE AIR FORCE (cont'd)</u>		
<u>Budget activity 5 - (cont'd)</u>		
**25	F/RF-4	a,b,d
**27	F-15	b
**29	F-111	a,b,d
**30	EF-111	b
**33	C-141	b,d
**36	C-135	b,d
**41	Civil Reserve Airlift Fleet	b
<u>Budget activity 6 - Aircraft spares and repair parts</u>		
42	Spares and Repair Parts	b,d,e
<u>Budget activity 7 - Aircraft support equipment and facilities</u>		
44	Common Ground Equipment	b,d,e
45	Component Improvement	b,d,e
46	Industrial Facilities	b,d
48	Other Production Charges	b,d,e
<u>Appropriation: 3020F Missile procurement</u>		
<u>Budget activity 1 - Ballistic missiles</u>		
* 1	LGM-30F/G Minuteman II/III	a,b,c,d
*Budget item covered by fiscal year 1979 arms control impact statement.		
**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.		

<u>Exhibit P-1 line item number</u>	<u>Appropriation title/budget activity/item description</u>	<u>Applicable criteria</u>
<u>DEPARTMENT OF THE AIR FORCE (cont'd)</u>		
<u>Budget activity 1 - (cont'd)</u>		
* 6	Air Launched Cruise Missile-B	a,b,c,d
7	Ground Launched Cruise Missile	a,c
** 8	Air-to-Air Missile--7F Sparrow	b,c,d
** 9	Air-to-Air Missile--9L Sidewinder	b,c,d
**10	Air-to-Ground Missile--45A Shrike	c
11	Air-to-Ground Missile--65A Maverick	c,d
<u>Budget activity 3 - Modification of in-service missiles</u>		
17	Class IV Modifications	f
<u>Budget activity 4 - Spares and repair parts</u>		
25	Missile Spares and Repair Parts	b,d,f
<u>Budget activity 5 - Other support</u>		
29	Satellite Data System	d
**32	Defense Support Program	b,d
33	Defense Satellite Communication System	d
**38	Space Shuttle	b
42	Special Programs	b,d

*Budget item covered by fiscal year 1979 arms control impact statement.

**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.

Exhibit P-1 line item number	Appropriation title/budget activity/item description	Applicable criteria
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DEPARTMENT OF THE AIR FORCE (cont'd)

Appropriation: 3080F Other procurement

Budget activity 1 - Munitions and
associated equipment

10	30mm API	b,d
27	Laser Bomb Guidance Kit	b,d

Budget activity 3 - Electronics and
telecommunications equipment

189	Spares and Repair Parts	b,d,f
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Budget activity 4 - Other maintenance
and support equipment

234	Selected Activities	b,d
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DEPARTMENT OF THE ARMY

Appropriation: 2031A Aircraft procurement

Budget activity 1 - Aircraft

** 3	Helicopter, Attack, AH-1S (COBRA/TOW)	b,c,d
** 5	Helicopter, Cargo, CH-47C (CHINOOK)	b,c
** 6	UH-60A (Black Hawk)	b,c,d

Budget activity 2 - Modification
of aircraft

**13	Helicopter, Attack AH-1 (COBRA)	b,d
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**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.

Exhibit P-1 line item number	Appropriation title/budget activity/item description	Applicable criteria
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DEPARTMENT OF THE ARMY (cont'd)

Budget activity 3 - Spares and
repair parts

23	Spares and Repair Parts	b,d
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Appropriation: 2032A Missile procurement

Budget activity 2 - Other missiles

** 1	Chaparral (MIM-72-A/C)	c
** 2	Hawk (MIM-23-B)	b,c,d
** 3	U.S. Roland	b,c,d
* 4	Patriot (SAM-D)	b,c
** 5	Stinger	b,c
** 7	Dragon	c,d
** 8	TOW (3GM-71A)	c,d
* 9	Lance (MGM-520)	a,b,c,d
10	Pershing (MGM-31A)	a,b,c,d

Appropriation: 2033A - Procurement of
weapons and tracked combat vehicles

Budget activity 1 - Tracked combat
vehicles

** 1	Carrier, Personnel, Full-tracked, Armored, M113A1	b,c,d
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*Budget item covered by fiscal year 1979 arms control impact statement.

**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.

Exhibit P-1 line item number	Appropriation title/budget activity/item description	Applicable criteria
<u>DEPARTMENT OF THE ARMY (cont'd)</u>		
<u>Budget activity 1 - (cont'd)</u>		
** 5	Howitzer, Medium, Self-Propelled, Full-tracked 155mm M10942	a,b,c
7	Recovery Vehicle, Medium, Full- tracked, M88A1	b,c,d
* 9	Tank, Combat, Full-tracked 105mm, XM1 Series	b,c,d,
**11	Tank, Combat, Full-tracked 105mm Gun, M60 Series	b,c,d
**17	Improved TOW Vehicle (modification)	b
**21	Tank, Combat, Full-tracked, 105mm Gun, M60 Series (modification)	b,c,d
25	Spares and Repair Parts	b,g
*28	Production Base Support (TCV-WTCV)	b,d

Appropriation: 2034A - Procurement of
ammunition

Budget activity 1 - Ammunition

1	Nuclear Weapons Support Material	a
2	Projectile, Nuclear, 8-Inch	a
20	Cartridge, 81mm, HE, W/FUZE	b
33	Projectile, 155mm, HE, ICM (OP)	b,d
35	Projectile, 155mm, HE, ADAM	b

*Budget item covered by fiscal year 1979 arms control impact statement.

**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.

Exhibit P-1 line item number	Appropriation title/budget activity/item description	Applicable criteria
<u>DEPARTMENT OF THE ARMY (cont'd)</u>		
<u>Budget activity 1 - (cont'd)</u>		
36	Projectile, 155mm, HE, ADATM/RAAMS	b
37	Projectile, 115mm, HE, Copperhead	b
41	Projectile, 8-Inch, HE, ICM (DP)	b
77	First Destination Transportation (ammunition)	b
<u>Budget activity 2 - Ammunition production base support</u>		
78	Provision of Industrial Facilities Construction Related	b,d
79	Provision of Industrial Facilities	b,d
<u>Appropriation: 2035A - Other procurement</u>		
<u>Budget activity 1 - Tactical and support vehicles</u>		
16	Truck, 5T, 6x6, ABT	b,c
19	Truck, Tractor, Equipment, Transport XM916 (c/s)	b
<u>Budget activity 2 - Communications and electronics equipment</u>		
**109	Tactical Satellite Communications	b,c
**119	Speech Security Equipment TSEC/KY-57	b,c
**154	Tactical Fire Direction System AN/GSG-10	b,c
163	Tactical Communications Emitter Location and Identification System AN/TSQ-112	b

**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.

Exhibit P-1 line item number	Appropriation title/budget activity/item description	Applicable criteria
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DEPARTMENT OF THE NAVY

Appropriation: 1506N Aircraft procure-
ment

Budget activity 1 - Combat aircraft

1	A-4M (attack) Skyhawk	a,b,c,d
** 2	A-6E (attack) Intruder	a,b,c,d
** 4	EA-6B (electronic warfare) Prowler	b,c,d
6	A-7E (attack) Corsair II	a,c,d
** 8	F-14A (fighter) Tomcat	b,c,d
*10	F-18 (fighter) Hornet	b,c,d
**12	CH-53E (helicopter) Super Stallion	b,c,d
**16	P-3C (patrol) Orion	a,b,c,d
**19	E-2C (early warning) Hawkeye	b,c,d

Budget activity 5 - Modification of
aircraft

**28	A-6 Series	a,b,d
30	A-7 Series	a,b,d
**32	F-4 Series	b,d
**34	F-14A	b
**38	H-46 Series	b,d
39	H-53 Series	b

*Budget item covered in fiscal year 1979 arms control impact statement.

**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.

APPENDIX IV

APPENDIX IV

<u>Exhibit P-1 line item number</u>	<u>Appropriation title/budget activity/item description</u>	<u>Applicable criteria</u>
<u>DEPARTMENT OF THE NAVY (cont'd)</u>		
<u>Budget activity 5 - (cont'd)</u>		
**42	H-3 Series	b,d
**44	P-3 Series	a,b
<u>Budget activity 6 - Spares and repair parts</u>		
59	Spares and Repair Parts	b,d,h
<u>Budget activity 7 - Aircraft support equipment and facilities</u>		
60	Common Ground Equipment	b,d,h
61	Component Improvement	b,d,h
65	Other Production Charges	b,d,h
<u>Appropriation: 1507N - Weapons Procure- ment</u>		
<u>Budget activity 1 - Ballistic missiles</u>		
1	UGM-27C (A-3) Polaris	a
2	UGM-73A (C-3) Poseidon	a,d
* 3	UGM-96A (C-4) Trident I	a,b,c,d
5	UGM-27C (A-3) Polaris Modification	a
6	UGM-73A (C-3) Poseidon Modification	a

*Budget item covered in fiscal year 1979 arms control impact statement.

**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.

<u>Exhibit P-1 line item number</u>	<u>Appropriation title/budget activity/item description</u>	<u>Applicable criteria</u>
<u>DEPARTMENT OF THE NAVY (cont'd)</u>		
<u>Budget activity 2 - Other missiles</u>		
**13	AIM/RIM-7 E/F Sparrow	b,c,d
14	AIM/9H/L Sidewinder	c
**15	AIM/54 A/C Phoenix	b,c,d
*19	Air-to-Ground Missile--84A Harpoon	b,c,d
**21	RIM-66B Standard Medium Range	a,b,c,d
22	RIM-67 A/B Standard Extended Range	a,b,c
26	Aerial targets	b,d
42	Fleet satellite communications	d
<u>Budget activity 3 - Torpedoes and related equipment</u>		
**45	Torpedo MK-48	b,c,d
**46	Torpedo MK-46	b,c
*47	Mine MK60 Captor	c
**53	Torpedo MK-46 Modification	b
<u>Budget activity 4 - Other weapons</u>		
**60	MK-15 Close-in Weapon System (PHALANX)	b,c

*Budget item covered in fiscal year 1979 arms control impact statement.

**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.

Exhibit P-1 line item number	Appropriation title/budget activity/item description	Applicable criteria
<u>DEPARTMENT OF THE NAVY (cont'd)</u>		
<u>Appropriation: 1611N Shipbuilding and conversion</u>		
<u>Budget activity 1 - Fleet ballistic missile ships</u>		
* 3	Trident (nuclear)	a,b,c,d
<u>Budget activity 2 - Other warships</u>		
* 6	Nuclear Powered Attack Submarine- 688 Class Submarine	a,b,c,d
9	CV A/C Carrier Service Life Program	c
**15	Guided Missile Destroyer-2 Modern- ization	a,b,c
<u>Budget activity 4 - Mine warfare and patrol ships</u>		
**16	FFG-7 Guided Missile Frigate	b,c,d
<u>Budget activity 5 - Auxiliaries, crafts, and prior year program costs</u>		
**19	AD Destroyer Tender	b,c,d
**22	T-AGOS Surtass ship	b,c
**25	T-ARC Cable Repair Ship	b
28	Outfitting	b

*Budget item covered in fiscal year 1979 arms control impact statement.

**Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.

Exhibit P-1 line item number	Appropriation title/budget activity/item description	Applicable criteria
<u>DEPARTMENT OF THE NAVY (cont'd)</u>		
<u>Appropriation: 1810N Other procure- ment</u>		
<u>Budget activity 1 - Ship support equipment</u>		
29	Trident Support Equipment	i
38	Reactor Power Units	a,b,d
39	Reactor Components	a,b,d
53	Spares and Repair Parts	b,d,i
<u>Budget activity 2 - Communications and electronics equipment</u>		
69	AN/BQQ-5	b,d
79	Caesar	b,d
84	Trident Electronic Equipment	i
86	ASMD EW System	b
97	WSQ	b
141	Trident Communication Support	i
173	Spares and Repair Parts	b,d,i
187	Cluster Bomb MK 20 (Rockeye)	d
<u>Budget activity 4 - Ordnance support equipment</u>		
223	5/54 Ammunition Components	b

Exhibit P-1 line item number	Appropriation title/budget activity/item description	Applicable criteria
<u>DEPARTMENT OF THE NAVY (cont'd)</u>		
<u>Budget activity 4 - (cont'd)</u>		
230	SMS ORDALTS	b,d,j
236	Polaris/Poseidon Training Equipment	i
237	Polaris/Poseidon Support Equipment	b,i
238	Trident I Backfit Training Equipment	i
239	Trident I Backfit Support Equipment	i
240	Trident Training Equipment	i
241	Trident Support Equipment	i
259	Spares and Repair Parts	b,d,i
<u>Appropriation: 1109N Procurement Marine Corps</u>		
<u>Budget activity 2 - Weapons and combat vehicles</u>		
35	Tank M60A1	c,d

- a/The line item is related to a nuclear program.
- b/The fiscal year 1979 budget request for the line item is \$50 million or more.
- c/Total estimated funding for the line item is \$250 million or more.
- d/Cumulative funding for the line item since fiscal year 1974, including the fiscal year 1979 request, is \$250 million or more.
- e/Line item is for the procurement of materials which could be used in aircraft capable of delivering nuclear weapons.
- f/Line item is for the procurement of materials which could be used in missiles having nuclear or non-nuclear warheads.
- g/Line item could include spares and repair parts for nuclear weapons--M109A2 Howitzer.
- h/Line item is for procurement of materials to be used on nuclear and non-nuclear armed aircraft.
- i/Line item could include procurement of items for vessels armed with nuclear weapons.
- j/Line item includes alterations to a missile with a nuclear warhead.

DEPARTMENT OF DEFENSE
RESEARCH, DEVELOPMENT, TESTING,
AND EVALUATION BUDGET ITEMS
COMBINED WITH OTHER APPROPRIATION FUNDS
FISCAL YEAR 1979 (note a)

<u>Exhibit R-1</u> <u>line item</u> <u>number</u>	<u>Program</u> <u>element</u> <u>number</u>	<u>Item description</u>	<u>Applicable</u> <u>criteria</u>
<u>DEPARTMENT OF THE AIR FORCE</u>			
**67	11312F	Post Attack Command and Control System	c
68	11316F	Strategic Air Command Communications	c
70	12325F	Joint Surveillance System	b
**80	33601F	Air Force Satellite Communications System	b
**81	35158F	Satellite Data System	b
113	64604F	Low Altitude Airfield Attack System	c
155	41119F	C-5 Airlift Squadrons	c
180	35160F	Defense Meteorological Satellite	b
<u>DEPARTMENT OF THE ARMY</u>			
130	63746A	Single Channel Ground and Airborne Radio Subsystem	c
132	63755A	Tactical Electronic Countermeasures Systems	b,c

** Budget item identified in executive branch fiscal year 1979, arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.

<u>Exhibit R-1 line item number</u>	<u>Program element number</u>	<u>Item description</u>	<u>Applicable criteria</u>
<u>DEPARTMENT OF THE ARMY (cont'd)</u>			
**140	64213A	CH-47 Modernization	c
151	64602A	Weapons and Ammunition	b,c
159	64614A	Field Artillery Weapons and Ammunition, 155mm	b,c
186	64728A	Family of Military Engineering Construction Equipment	c
**189	64731A	Counterbattery Radar (AN/T-PQ37)	c
**216	33142A	Satellite Communications Ground Environment	b
**217	33401A	Communications Security Equip- ment	b
<u>DEPARTMENT OF THE NAVY</u>			
76	11402N	GRYPHON	b
*103	63313N	Air-to-Ground Weapons	c
114	63502N	Surface Mine Countermeasures	c
164	63725N	Facilities Improvement	b,c
187	64226N	Advanced Self Protection System	c
202	64360N	High-Speed Anti-Radiation Missile	c
*220	64562N	Submarine Tactical Warfare System	b
* Budget item covered in fiscal year 1979 arms control impact statement.			
** Budget item identified in executive branch fiscal year 1979 arms control impact statement submission, as having minimal impact and for which an impact statement was not prepared.			

<u>Exhibit R-1</u> <u>line item</u> <u>number</u>	<u>Program</u> <u>element</u> <u>number</u>	<u>Item description</u>	<u>Applicable</u> <u>criteria</u>
<u>DEPARTMENT OF THE NAVY (cont'd)</u>			
234	64607N	Fire Control Systems Electro-Optics	c
236	64652N	Gun System Improvement Program	b
238	64655N	Major Caliber Lightweight Gun	c
243	64713N	Tactical Towed Array Sonar	c
249	64789N	Surveillance Towed Array Sensor	b,c
256	24163N	Fleet Telecommunications (Tactical)	c
290	31015N	Technical Sensor Collection	b
294	33109N	Satellite Communications	b,c

a/The research budget items contained in this appendix met one or both of the dollar criteria (a budget request of \$50 million or more or a total estimated program cost of \$250 million or more) for an arms control impact statement only when combined with "other appropriated funds" as identified in the research program descriptive summaries of the various services.

b/The fiscal year 1979 budget request for the line item when combined with other related appropriation funds is \$50 million or more.

c/Total estimated funding for the line item when combined with other related appropriation funds is \$250 million or more.

DEPARTMENT OF DEFENSE
MILITARY CONSTRUCTION PROJECTS
MEETING THE LEGISLATIVE CRITERIA FOR AN
ARMS CONTROL IMPACT STATEMENT
FISCAL YEAR 1979

<u>Appropriation request page number</u>	<u>Program element number</u>	<u>Project title</u>	<u>Applicable criteria</u>
<u>DEPARTMENT OF THE AIR FORCE</u>			
123	12449F	Space Transportation Airfield Facilities	a
124	12449F	Space Transportation Facilities Launch Complex	b,c
218	27596F	Airfield Protective Facilities	d
<u>DEPARTMENT OF THE ARMY</u>			
257	22396A	Total Force Ammunition Storage	d
260	22318A	POMCUS Storage and Maintenance Facilities	d
<u>DEPARTMENT OF THE NAVY</u>			
<u>e/</u>	<u>e/</u>	Trident	b,c,d, f,g,h

- a/The fiscal year 1979 budget request for the project title exceeds \$50 million only if procurement budget requests directly related to the project are considered.
- b/The fiscal year 1979 budget request for the project title is \$50 million or more.
- c/The fiscal year 1979 budget request for the project title exceeds \$250 million only if procurement budget requests directly related to the project are considered.
- d/The budget request is for construction projects at a number of locations. The fiscal year 1979 budget request for the project title exceeded \$50 million; however, no single project is estimated to exceed that amount.
- e/Trident construction funds were requested under a number of separate projects--no single page number or program element is identified.
- f/The line item is related to a nuclear program.
- g/Total estimated funding for the line item is \$250 million or more.
- h/Trident cumulative funding for fiscal year 1979 and prior years is more than \$250 million.

DEPARTMENT OF ENERGY
NUCLEAR WEAPONS PROJECTS
MEETING THE LEGISLATIVE CRITERIA FOR
AN ARMS CONTROL IMPACT STATEMENT
FISCAL YEAR 1979

<u>Weapon project title</u>	<u>Development phase</u>						
	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>
*B-61 Strategic Bomb (models 3, 4 and 5) <u>a/</u>			X	X	X	X	
*W-70-3 Lance						X	
*W-76 Trident (MK-4)			X			X	
*W-78 Minuteman III (MK-12A)			X	X	X	X	
*W-79 8-Inch Artillery Projectile			X	X	X	X	
*W-80 Cruise Missile			X	X	X		
W-81 Standard Missile			X				
*155mm Artillery Projectile			X				
*B-77 Full Fuzing Option Bomb <u>b/</u>			X				
*B-43 Tac Bomb (Modern- ization) <u>c/</u>						X	X
W-70-2 Lance Missile						X	
W-69 SRAM Missile						X	X
W-68 Poseidon Missile						X	X
W-62 Minuteman III Missile						X	X
B-61-2 Strategic Bomb						X	
W-58 Polaris Missile						X	X

* Budget item covered by fiscal year 1979 arms control impact statement.

<u>Weapon project title</u>	<u>Development phase</u>						
	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>
B-57 Bomb & Little Lulu						X	X
W-56 Minuteman II Missile						X	X
W-55 Submarine Rocket Anti-Submarine Warfare Depth Charge						X	X
B-54 SADM						X	X
W-53 TITAN II Missile						X	
B-53 Strategic Bomb						X	X
W-50 Pershing Missile						X	X
W-48 155mm Howitzer Artillery-Fired Atomic Projectile						X	X
W-45 MADM						X	X
W-45 Terrier Missile						X	X
W-44 Depth Charge						X	X
W-33 8" Howitzer Artillery-Fired Atomic Projectile						X	X
W-31 NIKE Hercules Missile						X	X
W-31 Honest John Missile						X	X
B-28 Bomb (Tactical & Strategic)						X	X
W-25 Genie Missile						X	X

a/Model 4 will be in phases 4, 5, and 6; Model 3 will be in phases 4 and 6; and Model 5 will be in phase 6.

b/Project cancelled at direction of the President--to be replaced with modernized version of the B-43. However, phase 3 work will be completed.

c/The existing B-43 is in phases 6 and 7, however, it will undergo major modifications to replace the B-77.

DEPARTMENT OF ENERGY
WEAPON DEVELOPMENT PHASES

The following is a brief explanation of the activities carried out under the various weapon development phases.

Phase I--Weapon Conception

Continuing joint or independent studies conducted primarily by the Department of Energy laboratories and Defense agencies which may focus sufficient interest in an idea for a new weapon or component to warrant a Phase 2 program study.

Phase 2--Program Study or Feasibility Study

A complete Energy/Defense study to determine whether the development of a new weapon or component should be undertaken. The study results in proposals which provide a range of weapon design options involving tradeoffs among size, shape, weight, yield, and other engineering specifications.

Phase 3--Development Engineering or Full-Scale Development

A development program is initiated based on required military characteristics. Specific work during this phase includes production of prototypes for evaluation by Defense and Energy officials and a determination of the weapon's developmental specification.

Phase 4--Production Engineering

The developmental design is adapted into a manufacturing system. This includes basic tooling, layout of production facilities, and adoption of assembly procedures.

Phase 5--First Production

The first weapons are delivered from production facilities. Contingent on favorable final evaluation by the Departments of Energy and Defense, the weapon is approved by Defense as a standard or limited stockpile item.

Phase 6--Quantity Production and Stockpile

The weapons are produced in quantity for stockpile, including production of components, spare parts, and ancillary gear. Weapons are entered into stockpile.

Phase 7--Retirement

During this phase the weapon is disassembled and disposal is accomplished.

DEPARTMENTS OF DEFENSE AND
ENERGY CONCEPTUAL RESEARCH PROJECTS
FISCAL YEAR 1979 (note a)

DEPARTMENT OF DEFENSE

<u>Exhibit R-1 line item number</u>	<u>Program element number</u>	<u>Item description</u>	<u>Applicable criteria</u>
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DEFENSE AGENCIES

* 4	62301E	Strategic Technology	b,c
5	62701E	Nuclear Monitoring Research	d,e
6	62702E	Tactical Technology	b,c
7	62704H	Nuclear Weapons Effects Development	b,c,d
11	62710H	Nuclear Weapons Effects Test	b,c,d
12	62711E	Experimental Evaluation of Major Innovative Technologies	b

DEPARTMENT OF THE AIR FORCE

* 2	61102F	Defense Research Sciences	b,c
7	62203F	Aerospace Propulsion	f
8	62204F	Aerospace Avionics	b,c
*11	62601F	Advanced Weapons	g
13	62702F	Command, Control and Communications	c

DEPARTMENT OF THE ARMY

* 2	61102A	Defense Research Sciences	b,c
12	62603A	Large Caliber and Nuclear Technology	d

*Budget item covered by fiscal year 1979 arms control impact statement.

<u>Exhibit R-1 line item number</u>	<u>Program element number</u>	<u>Item description</u>	<u>Applicable criteria</u>
<u>DEPARTMENT OF THE NAVY</u>			
2	61153N	Defense Research Sciences	b,c
7	62542N	Nuclear Propulsion Technology	d

DEPARTMENT OF ENERGY

<u>Weapon project title</u>	<u>Development phase</u>						
	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>
*M-X Warhead		X					
*Pershing II Warhead		X					
*Harpoon	X						
*Ground Launched Cruise Missile		X					
Tactical Air Defense Weapon	X						
*Advanced Strategic Air Launched Missile	X						
*MK-500 Warhead		X					
MRR Tactical Bomb	X						
Stand-off Missile	X						

*Budget item covered by fiscal year 1979 arms control impact statement.

- a/Budget items in this appendix met the monetary or nuclear criteria set forth in section 36 of the Arms Control and Disarmament Act of 1961, as amended; however, these projects are not expressly covered by the legislation.
- b/The fiscal year 1979 budget request for the line item is \$50 million or more.
- c/Cumulative funding for the line item since fiscal year 1974, including the fiscal year 1979 request, is \$250 million or more.
- d/Line item is related to a nuclear program.
- e/Total estimated funding for the line item is \$250 million or more.
- f/The fiscal year 1979 budget request for the line item when combined with other related appropriation funds is \$50 million or more.
- g/The line item is related to nuclear and nonnuclear weapons research.